

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE  
(REV. 2-2005)

## TRANSMITTAL LETTER TO THE UNITED STATES

DESIGNATED/ELECTED OFFICE (DO/EO/US)

CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER

PR60143USW

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

To be assigned **10/549972**

INTERNATIONAL APPLICATION NO.

PCT/US2004/008301

INTERNATIONAL FILING DATE

March 18, 2004

PRIORITY DATE CLAIMED

March 21, 2003

TITLE OF INVENTION

CHEMICAL COMPOUNDS

APPLICANT(S) FOR DO/EO/US

Michael John ALBERTI, David Harold DREWRY, David Drysdale MILLER, Paul BAMBOROUGH

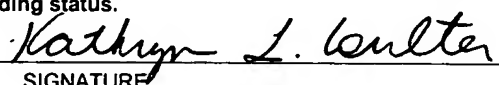
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:


1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☒ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV332064527 US
23. ☒ Other items or information:
  - a. Copy of Power of Attorney for SmithKline Beecham Corporation
  - b. Certificate Under 37 C.F.R. 3.73(b)
  - c. Copy of PCT Request
  - d. Copy of PCT Cover Page

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>10/549972</b> To be assigned		INTERNATIONAL APPLICATION NO. <b>PCT/US2004/008301</b>		ATTORNEY'S DOCKET NUMBER <b>PR60143USW</b>	
The following fees are submitted:				<b>CALCULATIONS</b>	<b>PTO USE</b>
24. <input checked="" type="checkbox"/> Basic national fee ..... \$300				\$ 300.00	
25. <input checked="" type="checkbox"/> Examination fee If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4). ..... \$100 All other situations. .... \$200				\$ 100.00	
26. <input checked="" type="checkbox"/> Search fee ..... Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority ..... \$100 International Search Report prepared and provided to the Office ..... \$400 All other situations. .... \$500				\$ 100.00	
<b>TOTAL OF 24, 25 and 26 =</b>				<b>\$ 500.00</b>	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)	RATE		
- 100 =	0	/50 = 0	x \$250.00	\$ 0.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	15 - 20 =	0	x \$50.00	\$ 0.00	
Independent claims	1 - 3 =	0	x \$200.00	\$ 0.00	
MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00				\$ 0.00	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$ 500.00</b>	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$ 0.00	
<b>SUBTOTAL =</b>				<b>\$ 500.00</b>	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$ 0.00	
<b>TOTAL NATIONAL FEE =</b>				<b>\$ 500.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +				\$ 0.00	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$ 500.00</b>	
				Amount to be	\$
				Amount to be	\$
a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.					
b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>23347</u> in the amount of <u>\$500.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed.					
c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>23347</u> . A duplicate copy of this sheet is enclosed.					
d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.					
<b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.					
SEND ALL CORRESPONDENCE TO:					
CUSTOMER NO. 23347			<div style="text-align: right;">             SIGNATURE            Kathryn L. Coulter            NAME            45,889            REGISTRATION NUMBER         </div>		

<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b>			Docket No. <b>107549972</b> PR60143USW	
Applicant(s): <b>Michael John ALBERTI, et al.</b>				
Application No. To be assigned	Filing Date Concurrently Herewith	Examiner To be assigned	Customer No. 23347	Group Art Unit To be assigned
Invention: <b>CHEMICAL COMPOUNDS</b>				
<p>I hereby certify that the following correspondence:</p> <div style="border: 1px solid black; padding: 10px; margin: 10px 0;"> <b>U.S. National Phase Application with Corresponding Documents</b> </div> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on</p> <p style="text-align: center;"> <u>September 20, 2005</u>  <i>(Date)</i> </p> <div style="text-align: right; margin-top: 20px;"> <u>Johnie Jones</u>  <i>(Typed or Printed Name of Person Mailing Correspondence)</i>    <i>(Signature of Person Mailing Correspondence)</i>  <div style="border: 1px solid black; padding: 2px; display: inline-block; margin-top: 5px;"> <b>EV332064527US</b> </div>  <i>("Express Mail" Mailing Label Number)</i> </div>				
<p style="text-align: center;"><b>Note: Each paper must have its own certificate of mailing.</b></p> <ol style="list-style-type: none"> <li>1. Return postcard</li> <li>2. Transmittal Letter Concerning a Submission Under 35 USC 371 (fee page in duplicate) (3 pages total)</li> <li>3. Copies of 4 Declarations for Utility or Design Patent Application (3 pages each) (12 pages total)</li> <li>4. Power of Attorney and Correspondence Indication Address Form (1 page)</li> <li>5. Copy of SmithKline Beecham Corporation Power of Attorney (2 pages)</li> <li>6. Certificate Under 37 C.F.R. 3.73(b) (1 page)</li> <li>7. Copy of International Search Report (2 pages)</li> <li>8. Information Disclosure Statement (fee page in duplicate) (3 pages total)</li> <li>9. PTO 1449 (1 page) and 1 Reference (101 pages)</li> <li>10. Preliminary Amendment (14 pages) with Abstract (1 page)</li> <li>11. Copy of PCT Request (5 pages)</li> <li>12. Copy of PCT Cover Page (1 page)</li> </ol>				